

## **Material Request Form (MRF)**

### **Appointments, Compensation, and Pay Files**

During the compliance review, the State Personnel Board (SPB)'s Compliance Review Unit (CRU) will review a random selection of civil service appointments, including list appointments, promotions in place, transfers, permissive reinstatements, and limited term and temporary appointments. The CRU will also review unlawful appointment investigations. The CRU may request to review and evaluate specific appointments, promotions, or unlawful appointment investigations. In addition, the CRU will be reviewing a random selection of appointment salary determinations and compensation related requests, including hiring above minimum (HAM) requests, alternate range movements, arduous pay, bilingual pay, out-of-class assignments, pay differential transactions, and red circle rates.

The purpose of this compliance review is to ensure appointing powers are complying with the merit principle and civil service laws and rules, personnel practices, policies and procedures, delegation agreements, and, if applicable, bargaining unit agreements. Where deficiencies are identified, appropriate corrective action will be ordered.

#### **General Instructions: Appointments**

**Unless otherwise indicated, all requested documents are documents that were created or issued during the applicable compliance review period. The appointments and unlawful appointment investigations that will be reviewed are listed on the attached MRF Appointments-Compensation Spreadsheet. For each matter listed, please provide the documents set forth below under Part I. Parts II through X require submission of additional documents, depending upon the type of appointment being reviewed. All requested documents should be organized in the order listed and by the appointment being reviewed. If a requested document does not exist, please include a brief written explanation setting forth the reasons why (e.g., the appointment was to a limited term position and therefore a probationary period was not required; a diligent search was conducted but the documents were not found). There are special instructions for Parts IX (Promotions in Place), X (Additional Appointments) and XI (Unlawful Appointment Investigations).**

#### **I.**

Please provide the following documents in the order listed below for all listed appointments, except promotions in place (see Part IX).

- ☐ Request for Personnel Action (RPA) form and any accompanying documentation.
- ☐ If applicable, documentation explaining the reasons for the limited term position
- ☐ Notice of Personnel Action (NOPA).
- ☐ Hired candidate's application.

## Material Request Form (MRF) Appointments, Compensation, and Pay Files

- ☐ Duty statement.
- ☐ All probationary reports.
- ☐ Current and proposed organizational chart for the program or unit where the employee was hired.
- ☐ Minimum qualification verification (e.g., any required degrees, certificates, or licenses) and copy of classification specification and, if applicable, alternate range criteria).
- ☐ Application screening criteria with any notes indicating how candidates were chosen for interview.
- ☐ All rejected applications, including applications received after the final filing date (unless available in ECOS).
- ☐ All accepted applications, including applications received after the final filing date (unless available in ECOS).
- ☐ If a reemployment and/or SROA list was required to be cleared, proof showing that the list(s) was cleared. If inapplicable, please provide a brief written explanation.
- ☐ All job announcements and bulletins, whether posted online or at physical locations showing final filing date, release date, and job control number (include information to extend, change and/or remove the announcement and proof it was completed).
- ☐ Interview rating criteria with any notes.
- ☐ Interview questions with any notes.
- ☐ Interview scoring or rating sheets with any notes and scores or ratings for each candidate interviewed.
- ☐ Any records documenting the reasons why the selected candidate was hired for the position.
- ☐ Loyalty oaths and oaths of office.
- ☐ Pre-employment background and reference checks.
- ☐ All correspondence pertaining to the appointment (e.g., hardcopies of any emails or other records of communication).

## II.

If the appointment listed was a **list** appointment (see “A01” Tab in the MRF Appointments-Compensation Spreadsheet), please provide the following additional documents next in order to the documents listed in Part I:

- ☐ Certification list used to fill vacancy with any notations and, if ranks were cleared, all contact letters (unless available in ECOS).

## Material Request Form (MRF) Appointments, Compensation, and Pay Files

- ☐ If the appointment was a promotion, any documents showing that prior to appointment a review was conducted to ensure employee eligibility to compete in a promotional examination, pursuant to Rules 234 and 235.2. If inapplicable, please check or X this box: ☐
- ☐ If the selected candidate did not satisfy the minimum qualification (MQ)s for the examination at the time the candidate took the examination, the examination bulletin showing that there were exceptions or substitutions to the MQ requirement (early entry).

### III.

If the appointment listed was a **transfer** appointment (see “A02” Tab in the MRF Appointments-Compensation Spreadsheet), please provide the following additional documents next in order to the documents listed in Part I:

- ☐ Transfer eligibility worksheet.
- ☐ If the transfer was involuntary, any documentation stating the reasons for the transfer. If inapplicable, please check or X this box: ☐

### IV.

If the selected appointment was a **training and development** assignment (see “A04” Tab in the MRF Appointments-Compensation Spreadsheet), please provide the following additional documents next in order to the documents listed in Part I:

- ☐ T&D Plan including duties that are being assigned.
- ☐ Documentation showing that Consecutive T&D Rule was verified (include effective dates for each T&D assignment).

### V.

If the selected appointment was a **compelling management need** assignment (see “A04” Tab in the MRF Appointments-Compensation Spreadsheet), please provide the following additional documents next in order to the documents listed in Part I:

- ☐ Written statement that contains the following information: (1) The compelling management need; (2) Duration and duties of the assignment; (3) The staff expertise required for the assignment; (4) Justification that the agency’s needs

## Material Request Form (MRF) Appointments, Compensation, and Pay Files

cannot be met through the existing organizational structure; and (5)  
Certification that a layoff by reason of such assignment will not become  
necessary in the appointing agency.

- ☐ Certification that the employee possesses the required expertise to perform the duties of the assignment.
- ☐ Certification that the employee has voluntarily consented to the assignment.
- ☐ Certification showing CalHR notification was completed within 30 days of approving any assignment under Rule 442.

### VI.

If the selected appointment was a temporary assignment for **injured employees** (see “A04” Tab in the MRF Appointments-Compensation Spreadsheet), please provide the following additional documents next in order to the documents listed in Part I:

- ☐ Written statement that contains the following information: (1) Justification of the need for the assignment; (2) Duration and duties of the assignment; (3) Certification that a layoff by reason of such assignment will not become necessary in the appointing agency; and (4) Agency has verified the employee’s medical condition.
- ☐ Certification that the employee has voluntarily consented to the assignment.
- ☐ SCO PIMS HIST Detail Information Item 215 noting “2CCR 443”

### VII.

If the appointment listed was a **temporary (TAU)** appointment, please provide the following additional documents next in order to the documents listed in Part I:

- ☐ Documentation explaining the reasons for the temporary appointment.
- ☐ Documentation showing the status of the position to which the temporary appointment was made (e.g., permanent, limited term, or temporary).
- ☐ Documentation showing that no employment list for the recruited classification(s) existed at the time of the temporary appointment or that Rule 265 applied to the recruited classification(s) at the time of the temporary appointment.
- ☐ If the temporary appointment was to a permanent position, documentation showing that no eligibles were available from an appropriate employment list during the tenure of the temporary appointment. If inapplicable, please check or X this box: ☐

## Material Request Form (MRF) Appointments, Compensation, and Pay Files

- ☐ If the temporary appointment was to a permanent position, documentation showing that an appropriate employment list was established for the class to which the temporary appointment was made before the expiration of the appointment. If inapplicable, please check or X this box: ☐
- ☐ If the temporary appointment was to a limited-term position and the agency continued the appointment for the life of the position, documentation showing prior approval of CalHR. If inapplicable, please check or X this box: ☐

### VIII.

If the appointment listed was an **emergency** appointment (see “A02” Tab in the MRF Appointments-Compensation Spreadsheet), please provide the following additional documents next in order to the documents listed in Part I:

- ☐ Documentation explaining the reasons for the emergency appointment.
- ☐ Documentation showing the name of the employee appointed, duties of the position, and beginning and ending dates of the appointment.
- ☐ Documentation showing the method of selection and the qualification standards.
- ☐ If the emergency appointment involved an acting assignment pursuant to Rule 302.2, documentation showing the prior approval of CalHR or documentation showing the prior approval of CalHR was not required. If inapplicable, please check or X this box: ☐

### IX.

If the appointment listed was a **promotion in place** (see “A01” Tab in the MRF Appointments-Compensation Spreadsheet), please provide the following documents:

- ☐ Request for Personnel Action (RPA) form and any accompanying documentation.
- ☐ Notice of Personnel Action (NOPA).
- ☐ Copy of current SCO PIMS Screen Printout or Employee History.
- ☐ Duty statements for previous position and new position.
- ☐ All probationary and performance reports.
- ☐ Minimum qualification verification (e.g., any required degrees, certificates, or licenses) and copy of classification specification and, if applicable, alternate range criteria).

## Material Request Form (MRF) Appointments, Compensation, and Pay Files

- ☐ All correspondence pertaining to the promotion in place (e.g., hardcopies of any emails and other records of communication).
- ☐ Any documents showing that the position occupied by the employee was reallocated to the "to" class without a change of unit or location.
- ☐ Current and proposed organizational chart of the unit.
- ☐ Certification list used for the promotion in place with any notations (unless available in ECOS).
- ☐ Any records documenting the reasons why the employee was promoted in place.
- ☐ If not all eligible employees received promotions in place, documentation showing compliance with Rule 242(b). If inapplicable, please check or X this box: ☐

### X.

If the appointment listed resulted in the employee being appointed to **more than one civil service position** at the same time (see "additional appointment" Tab in the MRF Appointments- Compensation Spreadsheet), please provide all the documents listed in Part I and this Part (Part X) for all the appointments held by the employee at the same time within your agency. The Part X documents should be provided next in order to the Part I documents and grouped by the appointment:

- ☐ Timesheets for Each Additional Appointment
- ☐ Leave Activity Printout of Months Performing Both Positions showing use, earn, etc. in applicable leave tracking system.
- ☐ If the appointment was by way of list eligibility, please provide the documents listed in Part II. If inapplicable, please check or X this box: ☐
- ☐ If the appointment was temporary (TAU), please provide the documents listed in Part VII. If inapplicable, please check or X this box: ☐
- ☐ If the appointment was by way of transfer, the transfer eligibility worksheet. If inapplicable, please check or X this box: ☐

**Material Request Form (MRF)**  
**Appointments, Compensation, and Pay Files**

**XI.**

If an **unlawful appointment investigation** is listed (see “Unlawful Appointment” tab in the MRF Appointments Spreadsheet), please provide the following documents:

- ☐ The complete investigation file, including any notations made on documents.
- ☐ Emails or other records of communication related to the investigation.
- ☐ Delegation agreement.
- ☐ Employee’s application.
- ☐ SCO PIMS Employee History Summary (pages encompassing voided appointment).
- ☐ All written notices and documents provided to the employee, including the Discovery of a Potential Unlawful Appointment and Investigation, Written Notice of the Preliminary Determination, and Written Notice of the Final Determination.

**NOTES/COMMENTS:**

---

---

---

---

---

---

---

---

---

---

## Material Request Form (MRF) Appointments, Compensation, and Pay Files

### General Instructions: Compensation and Pay Files

**The appointment salary determinations that will be reviewed are all appointments, with the exception of CEA appointments, listed on the attached MRF Appointments-Compensation Spreadsheet and the other salary determinations and requests that will be reviewed are listed on the attached MRF Pay Spreadsheet. For each listed matter, please provide the documents set forth below. All requested documents should be organized in the order listed and, if applicable, by the appointment being reviewed. If a requested document is applicable but does not exist, please include a brief written explanation setting forth the reasons why. (e.g., a diligent search was conducted but the documents were not found).**

### I.

Please see the MRF Appointments-Compensation Spreadsheet and for all appointments listed, please provide the following documents:

- ☐ Salary Determination Information (e.g., Footsteps Worksheet, HR Net Compute Class Movement Salaries printout, paperwork showing how the department determined employees salary).
- ☐ Copy of current State Controller's Office (SCO) PIMS Employee History Summary printout (pages encompassing the selected review period).
- ☐ SCO Payment History Summary printout (all pages during the prescribed review period).
- ☐ SCO Payment History Summary detail printout (mandatory deductions page only, type "B" detail information for the pay periods immediately before and two pay periods after appointment effective date).
- ☐ SCO PIMS Employee History Summary detail printouts (type "A" and "B" screen printout for selected appointment).
- ☐ SCO PIMS Employee History Summary detail printouts (type "A" and "B" screen printouts for transaction of classification used for salary determination).
- ☐ SCO CSP Salary Information printouts showing salary ranges of classifications used for salary determination at time of appointment.
- ☐ Any documentation to support and/or explain employee's actual rate and salary total.
- ☐ Certificate of approval/denial for SISA and or MSA.
- ☐ Justification for Exception to Salary.
- ☐ Alternate Range Criteria (ARC).
- ☐ Certificate of approval/denial for ARC change (include proof employee met ARC).



## Material Request Form (MRF) Appointments, Compensation, and Pay Files

### II.

Please see the “**HAM**” Tab in the MRF Appointments-Compensation Spreadsheet and provide the following materials for all HAM requests listed:

- ☐ SCO PIMS Employee History Summary printout (pages encompassing the selected review period).
- ☐ Salary Determination Worksheet (all documents showing how department determined employees salary. Include SCO CSP Salary information for current and prior classifications at time of appointment).
- ☐ SCO Payment History Summary printout (all pages during the prescribed review period).
- ☐ SCO CSP Salary Information printouts showing salary ranges of current classification at time of appointment.
- ☐ Request for Personnel Action (RPA) Form.
- ☐ Notice of Personnel Action (NOPA).
- ☐ Justification for HAM Request.
- ☐ Documentation Demonstrating Extraordinary Qualifications.
- ☐ Alternate Range Criteria (ARC).
- ☐ Hired Candidate’s Application.

### III.

Please see the “**335 Transactions**” tab in the MRF Pay Spreadsheet and provide the following materials for all alternate range movements<sup>1</sup> listed:

- ☐ SCO PIMS Employee History Summary printout (pages encompassing the selected review period).
- ☐ SCO PIMS Personnel Action Request – PAR printout (all pages).
- ☐ SCO PIMS Employee History Summary detail printout (type “B” screen printout, for last transaction prior to the 335 transaction).
- ☐ SCO Payment History Summary (all pages during the prescribed review period).
- ☐ SCO CSP Salary Information printout showing salary ranges of classifications used for salary determination at time of transaction.
- ☐ Salary Determination Worksheet (all documents showing how department determined employees salary).
- ☐ Notice of Personnel Action (NOPA).

---

<sup>1</sup> Only 335 transactions not keyed with appointments.

## Material Request Form (MRF) Appointments, Compensation, and Pay Files

- ☐ Employee's Application
- ☐ Alternate Range Criteria (ARC).
- ☐ If applicable, Certificate of Denial for ARC change.
- ☐ Documentation showing how the appointee met the ARC.
- ☐ Any Documentation to Support and or Explain Employee's Actual Rate and Salary Total (Established Earnings, Shift Differential, Special Pay, Plus Salary, Pay Letter and/or Departmental Policy).

### IV.

Please see the "**Arduous Pay**" tab in the MRF pay spreadsheet provide the following materials for all arduous pay transactions listed:

- ☐ SCO PIMS Employee History Summary printout (pages encompassing the selected review period).
- ☐ SCO Payment History Summary printout (all pages encompassing the Arduous Pay plus one month before and after the effective and end dates).
- ☐ CalHR Form 777 – Arduous Work Pay Request/Extension.
- ☐ STD Form 671 – Miscellaneous Payroll/Leave Actions.

### V.

Please see the "**Bilingual Pay**" tab in the MRF Pay Spreadsheet and provide the following materials for all bilingual pay transactions listed:

- ☐ SCO PIMS Employee History Summary printout (pages showing classification with Bilingual Pay through current).
- ☐ SCO PIMS Employee History Summary detail printout (type "B" screen printout for appointment with Bilingual Pay).
- ☐ SCO Payment History Summary printout (all pages during the prescribed review period).
- ☐ Oral Fluency Exam Results (proof of Bilingual Certification for employee).
- ☐ Bilingual Pay Authorization Form (STD. 897).
- ☐ Bilingual Survey Physical Tally Sheets.
- ☐ Signed Duty Statement at time of when Bilingual Pay was authorized.

## Material Request Form (MRF) Appointments, Compensation, and Pay Files

### VI.

Please see “**Out-of-Class Assignments**” (OOC) tab in the MRF Pay Spreadsheet and provide the following materials for all out-of-class assignments listed:

- ☐ SCO PIMS Employee History Summary printout (encompassing transactions at time of out-of-class assignment).
- ☐ SCO PIMS Employee History Summary detail printout (type “B” screen printout for all pay increases occurring during out-of-class assignment).
- ☐ SCO Payment History Summary printout (all pages encompassing the OOC Assignment plus one month before and after the effective and end dates).
- ☐ SCO CSP Salary Information printouts showing salary ranges of classifications used for salary determination at time of transaction.
- ☐ Salary Determination Worksheet (all documents showing how department determined employees salary).
- ☐ Written Justification/Reason for OOC Assignment.
- ☐ Current and Proposed Duty Statement.
- ☐ Current and Proposed Organizational Chart.
- ☐ CalHR 651 Job Description Form.
- ☐ DPA 720 Out of Class Justification Form (over 120 days).
- ☐ CalHR Extension and Approval Letters.
- ☐ STD Form 671 – Miscellaneous Payroll/Leave Actions for all pay periods in OOC Assignment

### VII.

Please see “**Pay Differentials**”<sup>2</sup> tab in MRF Pay Spreadsheet and provide the following materials for all pay differential transactions<sup>3</sup> listed:

- ☐ SCO PIMS Employee History Summary (all pages with applicable 350 transaction highlighted).
- ☐ SCO PIMS Employee History Summary detail printout (type “B” screen printout, for applicable 350 transaction and all pages during the prescribed review period).
- ☐ SCO Payment History Summary printout (all pages during the prescribed review period).

---

<sup>2</sup> Excluding bilingual and arduous pay.

<sup>3</sup> As indicated on the preliminary survey, the CRU will only be reviewing monthly locked-in (on PAR) pay differentials at this time.

## Material Request Form (MRF) Appointments, Compensation, and Pay Files

- ☐ Duty Statement.
- ☐ Applicable Pay Differential Letter from CalHR Pay Scale Manual.
- ☐ Any documentation pertaining to the pay differential (e.g., employee's application, certificate).

### VIII.

Please see “**Red Circle Rates**”<sup>4</sup> tab in MRF Pay Spreadsheet and provide the following materials for all red circle rate transactions listed:

- ☐ SCO PIMS Employee History Summary printout (all pages).
- ☐ SCO PIMS Employee History Summary detail printout (type “B” screen printout for transactions used for Red Circle Rate determination).
- ☐ SCO Payment History Summary printout (all pages during the prescribed review period).
- ☐ SCO CSP Salary Information (for applicable effective dates).
- ☐ DPA 687 - Red Circle Rate Request Form.
- ☐ DPA 688 – 90 Day Red Circle Rate Request (for CEAs) Form.
- ☐ Verification of State Service (CLAS S16 printout).
- ☐ Written Justification for Rate.

### NOTES/COMMENTS:

---

---

---

---

---

---

---

---

---

---

<sup>4</sup> A red circle rate is a rate of pay authorized for an individual above the maximum salary for his or her class. It is intended to mitigate the hardship when an employee's salary is to be lowered through no fault of the employee.